



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

A. HORIGUCHI et al

Serial No. 09/666,861

Group Art Unit: 2134

Filed: September 21, 2000

Examiner: M. Zia

For: METHOD FOR THE DETERMINATION OF SOUNDNESS OF A SHEET-SHAPED MEDIUM, AND METHOD FOR THE VERIFICATION OF DATA OF A SHEET-SHAPED MEDIUM

**INFORMATION DISCLOSURE STATEMENT (IDS)**  
**UNDER § 1.97 AND § 1.98**

Commissioner for Patents  
Mail Stop DD  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. This IDS should be considered:

(a) when filed within three months of the filing date of the present application, or within three months of the filing date of the National Stage as set forth in § 1.491 in an international application, or before the mailing date of a first Office Action on the merits, whichever occurs last;

(b) when filed before the mailing date of either a Final Rejection under § 1.113 or a Notice of Allowance under § 1.311, whichever occurs first and when 1(a) does not apply. For this purpose, there is included herein either a certification in section 4 below (included when indicated by a marked box), or a fee of \$180.00 (a Credit Card Payment Form in the amount of \$180.00 is enclosed, or if not see section 5 below);

(c) when filed prior to the payment of the Issue Fee, when 1(a)-(b) do not apply, and when a certification is included in section 4 below (included when indicated by a

marked box); then the Applicant(s) hereby petition(s) and request(s) consideration of this IDS, and provided herewith is a fee of \$180.00 (a Credit Card Payment Form in the amount of \$180.00 to cover the petition fee, or if not see section 5 below).

2. When 1(a)-(c) do not apply, then it is requested that this IDS be placed in the file.

3. Listing of the information submitted is on the attached Form PTO-1449, which forms a part of this IDS. A copy of each listed document is enclosed when needed (needed for U.S. and foreign patents, publication or portion thereof listed; no copy of a U.S. patent application is needed; a copy of a document is not needed when previously submitted or previously cited by the PTO in a parent application of the present application as set forth under 35 U.S.C. § 120).

4. The undersigned hereby states (if box is checked)::

☐ (a) that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application, as indicated on the copy of the communication submitted herewith, which communication was dated more than three months prior to the filing of this IDS (late IDS Fee of \$180.00); or

☐ (b) that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in § 1.56(c) more than three months prior to the filing of this IDS.

5. If a fee or additional fee is required, the Commissioner is hereby authorized to charge any fee or additional fee that may be required and credit any excess to Deposit Account No. 50-1417.

6. A statement of relevancy is provided for  
EP 1 148 440 A1 as follows:

Many embodiments for protecting against forgery are disclosed. Mainly, a semiconductor chip and antenna are incorporated in a paper or film-form medium. For example, Fig. 8 shows a medium having a surface printed pattern 81 and a semiconductor chip 82 including an antenna.

7. If the PTO determines that part(s) of the required content is inadvertently omitted, then it is requested that the Applicant(s) be given additional time and specific identification of such omission(s) to enable full compliance.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "J. R. Mattingly", with a large, sweeping flourish extending from the end of the signature.

John R. Mattingly  
Registration No. 30,293  
Attorney for Applicant(s)

MATTINGLY, STANGER & MALUR  
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(703) 684-1120  
Date: August 23, 2004

FORM PTO-1449

REV. 7/80

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

H&amp;A-100-02

SERIAL NO.

09/666,861

## LIST OF DOCUMENTS CITED BY APPLICANT

(Use several sheets if necessary)

APPLICANT

A. HORIGUCHI et al

FILING DATE

9/20/00

GROUP

2134

## U.S. PATENT DOCUMENTS

| * EXAMINER<br>INITIAL | DOCUMENT | DATE | NAME | CLASS | SUBCLASS | FILING DATE<br>(If Appropriate) |
|-----------------------|----------|------|------|-------|----------|---------------------------------|
| AA                    |          |      |      |       |          |                                 |
| AB                    |          |      |      |       |          |                                 |
| AC                    |          |      |      |       |          |                                 |
| AD                    |          |      |      |       |          |                                 |
| AE                    |          |      |      |       |          |                                 |
| AF                    |          |      |      |       |          |                                 |
| AG                    |          |      |      |       |          |                                 |
| AH                    |          |      |      |       |          |                                 |
| AI                    |          |      |      |       |          |                                 |
| AJ                    |          |      |      |       |          |                                 |
| AK                    |          |      |      |       |          |                                 |

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## FOREIGN PATENT DOCUMENTS

|    | DOCUMENT  | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION              |                          |
|----|-----------|----------|---------|-------|----------|--------------------------|--------------------------|
|    |           |          |         |       |          | YES                      | NO                       |
| AL | 1 148 440 | 12-10-99 | EPO     |       |          | <input type="checkbox"/> | <input type="checkbox"/> |
| AM |           |          |         |       |          | <input type="checkbox"/> | <input type="checkbox"/> |
| AN |           |          |         |       |          | <input type="checkbox"/> | <input type="checkbox"/> |
| AO |           |          |         |       |          | <input type="checkbox"/> | <input type="checkbox"/> |
| AP |           |          |         |       |          | <input type="checkbox"/> | <input type="checkbox"/> |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

|    |  |  |
|----|--|--|
| AR |  |  |
| AS |  |  |
| AT |  |  |

EXAMINER

DATE CONSIDERED

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.